



Records Management Briefing for Senior Officials and Political Appointees

[insert name, title and organization of SO/PA]

Insert date

Benefits of records management

Managing EPA records as information assets in support of the Agency's mission...

- ensures statutory/regulatory compliance
- preserves corporate memory
- promotes information sharing
- assists better decision making
- enables efficient access/retrieval
- safeguards vital/sensitive information
- minimizes litigation risks
- reduces operating costs



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Statutes, Regs & Policy

The head of each Federal agency shall make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency and designed to furnish the information necessary to protect the legal and financial rights of the Government and of persons directly affected by the agency's activities. (44 U.S.C. 31; 36 CFR 12B)

This responsibility is delegated. (EPA 2155.1; EPA 1200)

- Chief Information Officer > Agency Records Officer
- Assistant and Regional Administrators > Records Liaison Officers
- All EPA employees

<http://www.epa.gov/irmpoli8/records-management-policy-define-epas-records-management-responsibilities>www.epa.gov/records/policy/



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All EPA employees are responsible for...

- creating records that document their activities
- filing records for safe storage and efficient retrieval
- disposing of records according to Agency schedules
- safeguarding against the removal or loss of records

<http://intranet.epa.gov/records/whatis/index.html>



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Records are...

“recorded information, regardless of physical form or characteristics, made or received by an agency of the U.S. Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them.”

(44 U.S.C. 3301, Definition of Records)

Importance of Senior Official's Records

- Records of EPA Senior Officials are especially important because they document Agency policy and important decisions
- Many records of Senior Officials are considered “permanent” – i.e. subject to preservation by the National Archives and Records Administration

Records of Senior Officials include...

- Calendars, schedules, and logs of daily activities
- Controlled and major correspondence
- Directives and policy guidance documents
- Program development files
- Reports to Congress or the President
- Email and attachments and other electronic documents and messages that meet the definition of a Federal Record
- Administrator's meeting files
- Speeches and testimony

Two Important Distinctions in Records

- **Permanent Records** – subject to preservation by the National Archives for all time
- **Temporary Records** – subject to records schedules and will be disposed of at the end of the record life-cycle

What is a Non-Record?

- Documents or material with no real evidential value
 - For example: an extra copy of a document already in an official file, maintained **solely** for convenience or reference
- Processed or printed material maintained for reference or distribution
 - For example: library material, catalogs, journals, agency publications



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EPA Records vs. Personal Papers

EPA Records are...

- ✓ Created or received in the course of doing business for the EPA
- ✓ Material that is needed to document EPA activities or actions
- The content of the documentation determines whether it is a record, not the format. Records may be in any physical or electronic format.
- Electronic messages include text messaging, chat/instant messaging, messaging functionality in social media tools or applications, voice messaging, and similar forms of electronic messaging systems.

EPA Records vs. Personal Papers

Personal papers include...

- ✓ Leave and Earnings statements
- ✓ Tax documents (W-2)
- ✓ Documents related to professional, political or civic activities not undertaken as a representative
- ✓ Any materials brought into the workplace from a previous job or from home

A Records Schedule is...

an EPA policy approved by the National Archives and Records Administration (NARA) that provides specific, mandatory instructions for records:

- when they must be closed
- how long they must be retained
- their final disposition (destruction or transfer to NARA)

<http://intranet.epa.gov/records/faqs/schedules.html>

Records Responsibilities

It is your responsibility to:

- Manage your records yourself or ensure you have identified someone to do this
- Ensure records are placed in a recordkeeping system and managed according to the appropriate schedule
- Complete EPA Form 3110-49 – *EPA Records Management Checklist for Separating/Transferring or Separated Personnel* and identify and transfer records prior to your departure from EPA or transfer to another position within EPA



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What is the Enterprise Content Management System (ECMS)?

ECMS is EPA's DoD 5015.2 certified Enterprise Recordkeeping System, which currently captures email records from Outlook. The system provides functionality that allows users to:

- capture electronic records
- save the records in a secure repository
- search for the records
- share the records with appropriate users
- manage records retention
- control user access to records
- provide records audit trail



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What is the Enterprise Content Management System (ECMS)?

In addition, ECMS allows for system-to-system records transfer. Agency systems using ECMS to manage retention and final disposition of their records include:

- Integrated Grants Management System (IGMS) for both grants and interagency agreements
- Correspondence Management System (CMS)



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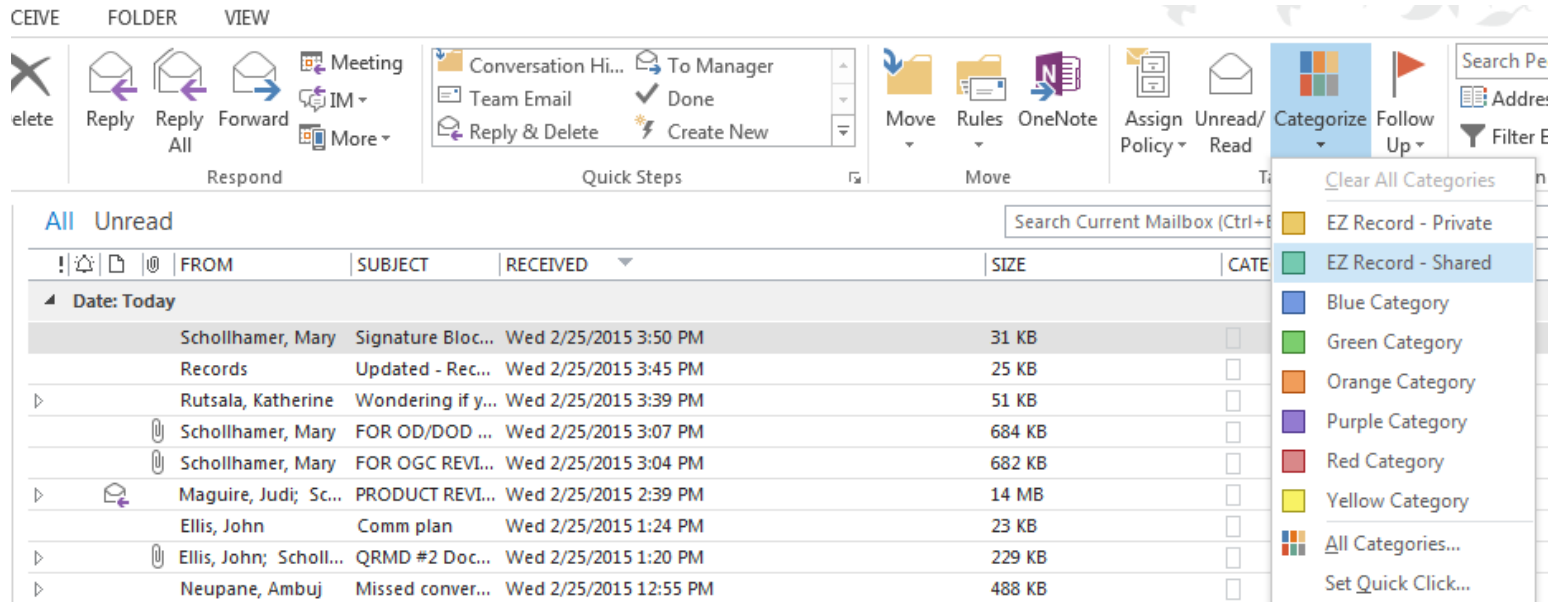
What is the EZ Email Records tool?

- The EZ Email Records tool enables you to save emails as records in a simple one-step process and is integrated directly into: Outlook, and Outlook Web Application (OWA).
- Mandatory EZ Email Records training takes about 20 minutes to complete and can be found on EPA's eLearning site.
- For more information about EZ Email Records, please visit:
<http://intranet.epa.gov/ecms/emailrecords>
- For instructions on how to access the EZ Email Records Training, please visit:
http://intranet.epa.gov/ecms/emailrecords/skillport_instructions.pdf



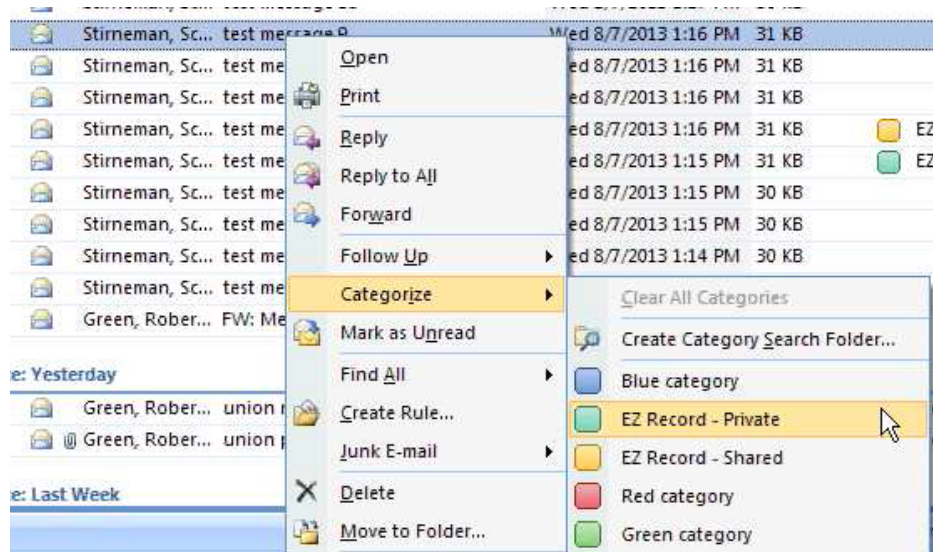
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Ways to save email to EZ Email Records



Option 1: In Microsoft Outlook, click on the email you want to save as a record, and then click on “Categorize” on the Ribbon. You will then choose whether to save it as “EZ Record - Private” or “EZ Record - Shared” record. It is recommended that you select “Shared”, as Shared records are automatically viewable by other staff in your office. Private records are only viewable to you.

Ways to save email to EZ Email Records



Option 2: In MS Outlook, right-click the message you want to save as a record and hover over the “Categorize” choice. The Categorize menu will appear. From there, you can select whether you want a Private or Shared record.

For more information, take the mandatory EZ Email Records training.



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Saving Your Calendars

- *Calendar* Records are required to be saved by Agency Senior Officials,
- Instructions on how to save calendar records are posted on the intranet at:
 - http://intranet.epa.gov/ecms/guides/calendar_outlook.htm

Freedom of Information Act Requests (FOIA)

- FOIA is a federal law that gives the public the right to make requests for federal agency records
- Complying with FOIA is everyone's responsibility.
 - The Agency has 20 working days to respond to a request
 - Requesters may sue the Agency for failure to respond by the 20th working day
- Each organization has a FOIA Coordinator to provide guidance and serve as a resource for the organization
- FOIA online is the Agency's FOIA management system and is used to manage the lifecycle of FOIA requests



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Protecting Personally Identifiable Information (PII)

Personally Identifiable Information, or PII, is any information that potentially can be used to identify, contact or locate an individual.

- EPA designated a subset of PII as "sensitive" due to the potential risk of harm to the individual if breached (i.e., social security numbers, or comparable ID numbers, medical and financial information)
- All employees must safeguard PII from loss, theft, inappropriate access and use
- Compromises (breaches) of PII must be immediately reported to the EPA Call Center (1-866-411-4372, Option 1) and your organization's primary Information Security Official (ISO)



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Legal Considerations 1

- Do not use a non EPA messaging system (i.e., personal email, personal mobile device, etc.) to conduct Agency business. If you have to because of an emergency, CC your EPA account within 20 days of the original creation or transmission of the record and manage any records appropriately once you have access to your account
- EPA strongly discourages the use of text messages for transmitting Agency records. If a text message is a record, then it and related contextual information (e.g., to, from, date, time and subject) must be forwarded to an approved EPA email system and saved as a record on a regular basis within 20 days
- Do not download any unapproved software or applications to EPA computers or mobile devices
- Keep personal papers separate from federal records
- Records you create or receive in the conduct of Agency business during your tenure belong to EPA exclusively



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Legal Considerations 2

- Departing officials and employees may not remove extra copies of records or other work material without prior approval
- There may be criminal penalties for unauthorized removal or destruction of records
- Documents you create or receive may also need to be maintained pursuant to the Freedom of Information Act (FOIA), litigation or other legal requirements. Both records and non-records may be subject to FOIA or litigation requests
- Before separating from the Agency, you must complete all required exit forms and certify that you have taken care of your records management responsibilities using EPA Form 3110-49



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<http://intranet.epa.gov/records>
<http://intranet.epa.gov/ecms>

<http://intranet.epa.gov/privacy>
<http://intranet.epa.gov/foia>



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